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Docket No.: 18117 [TYC-03-1111]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: William J. Palmteer et al. Examiner: D. Kang

Serial No.: 10/696,005 Group Art Unit: 2811

Filed: October 29, 2003

For: SURFACE MOUNT PACKAGE FOR A HIGH POWER LIGHT EMITTING DIODE

AFFIDAVIT OF PRIOR INVENTION UNDER 37 CFR 1.131

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

I, WILLIAM J. PALMTEER, being duly sworn, depose and state:

- 1. I was an applicant of the above-identified patent application at the time of filing, and a co-inventor of the subject matter described and claimed therein.
- 2. On or about January 22, 2003, I (in concert with my co-inventors Thomas Yuan and Richard Koba) submitted a Preliminary Invention Disclosure ("PID") to my employer The Whitaker Corporation ("Whitaker") which described surface mount packages for high power light-emitting diodes (LEDs) (See Exhibit A).
- 3. Included as "Attachment A" to the above-referenced PID was a document entitled "Surface Mount Ceramic Packages for High Power LEDs" which I and my co-inventors had previously authored on or before January 22, 2003.
- 4. It is my understanding that Whitaker in-house counsel Joseph A. Tessari, Esq. received the PID on April 23, 2003 and subsequently began working towards the preparation of a Patent Application based on the PID. This receipt date is evidenced by the "Whitaker" date stamp on the first page of the PID.
- 5. I also understand that Mr. Tessari forwarded the PID to Mr. Joseph Chovanes of the law firm of Piper Rudnick LLP ("Piper Rudnick") on or about April 24, 2003, and requested that Mr. Chovanes prepare a Patent Application based on the PID (See Exhibit B).

Docket No.: 18117 [TYC-03-1111]

- 6. On October 27, 2003, I signed a Declaration and Power of Attorney authorizing Whitaker subsidiary Tyco Technology Resources, and the law firm of Piper Rudnick, to file a Patent Application covering the idea of surface mount packages for high power lightemitting diodes (See Exhibit C).
- 7. I understand that the Patent Application was filed on October 29, 2003 with the United States Patent & Trademark Office by Piper Rudnick, and was accorded Serial No. 10/696,005.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signed at MA-ComFOL LOWER, Ma.	, this 15 day of April, 2005.
WILLIAM J. PALMTEER William	J. Galmlear
STATE OF MUSS : SS. COUNTY OF MIDDLESUX :	•

Before me, a Notary Public for said County, personally appeared WILLIAM J. PALMTEER, known to me to be the person who executed the foregoing affidavit and acknowledged it to be his act and deed.

Witness my hand and seal this 16th day of April, 2005.

Maura Clark Notary Public My Commission Expires August 27, 2010 *tyco*

Electronics

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HUMAN RESOURCE POLICY Policy #: DIVH-1575 Rev. C

Subject:		Policy #: DIVH-	1575	Rev. C		
PATENT AWARI	os	Page 1 of 2				
14	LIMINARY INVEI is form and forward to:		siness Developn		HMENT "A"	
Descriptive Title of Invention: Surface Mount C	eramic Packages for High	Power LEDs		Date: Jan	ary 22, 2003	
-28	DACTED -					
What are the new features of the invention white attach and wire bonding equipment. Tithe confuthe package, whereby increasing the lumens.	ch overcome this problem al feature placed in the to	? The LED package is do p metal will allow reflect	esigned to be con ion of light upward	npatible with	automated die ards external to	
On separate drawings or sketches, describe the	e features of the invention	and how they work. Are	these enclosed?	[⊠] yes	([]) nio	
Ψ ***	- REDACTED	-				
Enter date of the first written description or the	first dated sketch of inven	tion and attach copies.	**			
Enter the date a working model, device or proce	ess was or will be complet	ed:				
	-RE	DACTED -		•	.	
Are latest drawings enclosed? [☒] yes [☐ If CAD, who should be contacted to retrieve the		re they CAD? [∑]] yes [[]] no	· · · · · · · · · · · · · · · · · · ·		
Inventor's Full Name (Incl. Full Middle Name) William Palmteer	Inventor's Full Name (In Thomas Yuan	cl. Full Middle Name)	Inventor's Full N Richard Koba	lame (Incl. I	ull Middle Name)	
Business Phone: 978-442-4163	Business Phone: 978-4		Business Phone			
Fax Number: 978-442-4261	Fax Number: 978-442-4	26	Flax Number: 9			
M/A-COMEmployee #: 41163	M/A-COM Employee #:	5 42 APR 2		LL	22	
Business Unit: MSBU-PB	Business Unit: MSBU-P		Business Unit:	изви-рв		
Mail Stop:	Mail Stop:	THE WHITAKER	Mail Stop:			
Citizenship: USA	Citizenship: Taiwan, RC	C MITAKER (QREORATION			
Home Address: 481 Steven Street N. Andover, MA 01845	Home Address: 4107 Th Williamsville, NY 14221		Home Address: MA 01906	57 Walnut	Street, Saugus,	
Signature: William J. Halants	Signature:	grow	Signature:	Kicha	relkoba	
Date: 1/22/03	Date: 1/21/	2007	Date:) -	22-0	3	
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Witness: 1/11/13	Witness:	1/240)	Witness:	10	1/2/14	-
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M/A-COM		HUMAN RE	SOURCE POLICY
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PAT	TENT AWARDS	Page 2 of 2	
. Doug Carlson 978-656 29	932 Dr. Doug Ca	rlson 978-656 2932 D	. Doug Carlson 978-656 2932
OR THE WHITAKER COR	PORATION USE ONLY		
			PID Number: 2003013
			Attorney: JOSEPH A. Tossari
· · · · · · · · · · · · · · · · · · ·			Attorney's Phone: (302) /233-3-46
			ATTACHMENT B
1811/17817	ION DICCLOSURE	A DECLIFOT FOR A TO	NT ADDI IOATICA
1144 - 141		nd REQUEST FOR PATE	AL AFFLICATION
DATE:	1-22-2003		
TITLE OF INVENT	ON: Surface Mount Ce	ramic Packages for High P	ower LEDs
(FID attached)			
INVENTOR(S):			
NAME	EMP ID	BUSINESS UNIT	DEPT.
1.Bill Palmteer	41163	MSBU	28585
2.Thomas Yuan 3.Richard Koba	55420 41222	MSBU MSBU	28588 28113
4.	- 1222	WODO	20110
DUCINESS UNIT T	ECHNICAL DEVIEW.		
DUSINESS UNIT 1	ECHNICAL REVIEW:	Λ	
BUSINESS UNIT M		Pour Carlson	2/14/03
BUSINESS UNIT R	EVIEW TEAM(s)	Doug Carrison My	
Business Unit REC	OMMENDATION:	JF canter	
Approve for pa	tent application review by	y Intellectual Property Comm	nittee 🖟
	o application at this time		- REDACTED
U Other action re	equired – please explain t	Delow:	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
INTELLECTUAL P	ROPERTY COMMITTEE	REVIEW:	
INTELLECTUAL DE			
INTELLECTUAL PL	ROPERTY TEAM LEAD		1

INTELLECTUAL PROPERTY TEAM MEMBER(S)

Approved for patent application review by Whitaker Corporation

No application to be pursued at this time

Additional information required – please explain below:

Intellectual Property Committee DECISION:

Electronics

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HUMAN RESOURCE POLICY

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Subject:	Policy #: DIVH-1575	Rev. C	
PATENT AWARDS	Page 3 of 2		
FINAL IPC APPROVAL:			
Chairperson,	Date		

Attachment A

M/A-Com Proprietary Invention Disclosure

Surface Mount Ceramic Packages for High Power LEDs January 22, 2002

Bill Palmteer, Tom Yuan and Richard Koba

1 Surface Mount LED Package Design Elements:

- 1.1 This invention is a surface mount LED package constructed of ceramic, glass and metal. The ceramic layer has pattern metallization that allows die and wire attach of the LED on the top face, and electrical terminations suitable for brazed leads or surface mount soldering on the backside. The ceramic layer enables electrical isolation of the two leads to the diode (anode and cathode), the ability to withstand high temperatures during assembly and operation, resistance to damage by intense UV radiation, and structural stability. The metallization on the ceramic can be designed in such a way as to accept LEDs that are backside die attached or flip chip mounted onto the ceramic. If the LED is backside die attached, then the ceramic metallization can be designed to accept a LED backside that is one electrode of the diode (requiring only one wire bond off the top of the LED), or an LED backside that is electrically insulating (requiring two wire bonds off the top of the die).
- 1.2 A reflector "collar" is attached on the ceramic to surround the die. The purpose of the reflector is to efficiently direct the emitted light upward, protect the die and contain the encapsulant. The reflector should preferably have a parabolic or conical interna diameter. The top surface of the reflector could include machined features that promote alignment and placement of a lens atop the LED. The surface of the reflector is coated with, or comprised of, silver, palladium or aluminum. Preferably, the reflector is made from a metal whose CTE is matched to the CTE of the ceramic
- 1.3 A dielectric layer must be interposed between the metallized ceramic and the metal reflector to prevent electrical continuity between the two metal pads atop the ceramic. The dielectric can be the same as the ceramic base (cofired or post-fired), requiring that the metal reflector be bonded to the base with a metal braze or a glass. If the dielectric is a silicate glass or a polymer (e.g., epoxy), then this glass layer can also serve as the adhesive between the ceramic base and the metal reflector.

2 Construction of the package:

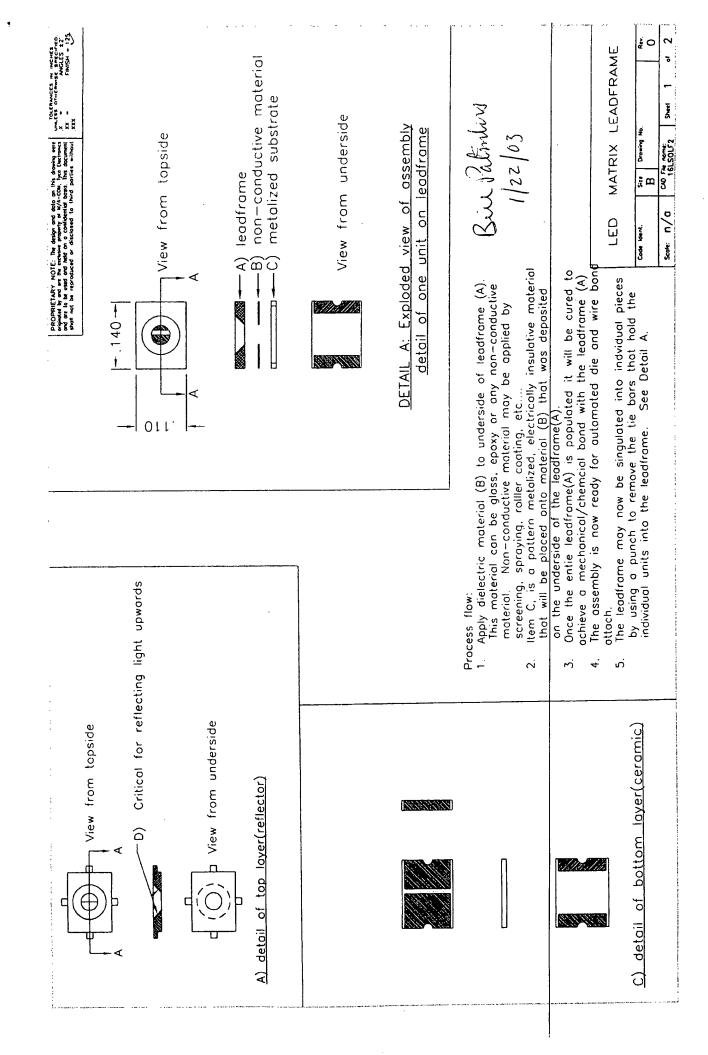
- 2.1 The ceramic is manufactured in either single units or an array (i.e., multi-up card). It can be bonded to the metal reflector as discrete units or in an array. The ceramic material can be alumina (Al₂O₃) or aluminum nitride (AlN). Alumina is the lower cost material, and is preferred when the dissipated power of the LED is low. AlN is the higher cost material, but is preferred when the dissipated power of the LED is high. Atop alumina, the CTE matched metal can be Alloy 46 or certain compositions of AlSiC. Atop AlN, the CTE-matched metal can be Kovar or Alloy 42.
- 2.2 The metallization pattern on the ceramic must connect the two pads on the top of the ceramic to two pads on the backside. Methods of connecting the two pads to the backside pads include bore-coated castellations (of various shapes), and hermetic and non-hermetic vias.

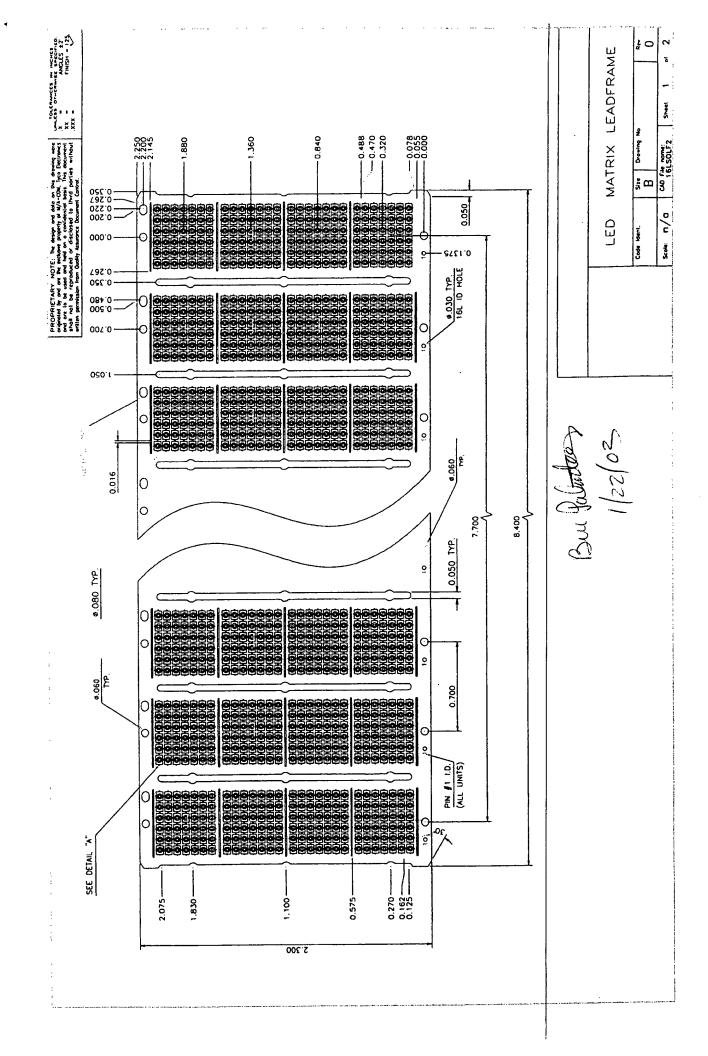
- 2.3 The metallization must be adherent to the ceramic, capable of withstanding package assembly process, and compatible with the LED die attach (epoxy or solder) and wire bonding (Au or Al wire) of the LED die. Two general methods can be used to metallize the ceramic: thick film or thin film.
- 2.4 Thick film metallization offers the advantage of being directly deposited onto the ceramic in the desired pattern. Thin film metal can include a variety of post-fired metallization pastes such as silver (Ag) or gold (Au). Ag or Au thick film metallization has the advantage of being directly adherent to the bare ceramic, and not requiring subsequent plating. Alternatively, refractory metal can be screened onto the ceramic either before or after the ceramic is sintered. The co-fired thick film metal is typically tungsten (W), which enables the creation of hermetic vias. Post-fired refractory metallization can include W, W/Mn or Mo/Mn. All refractory metallization require plating of metals required to support die attach. Typical plated metal layer stacks can include Ni/Ag, Ni/Pd or Ni/Au. However, for optimal reflectively, the preferred outermost metal should be Ag or Pd.
- 2.5 Thin film metallization offers the advantage of offering aluminum metallization, and potentially finer linewidth control. Thin films are deposited by methods such as sputtering or evaporation. Typical thin film systems compatible with ceramic include Ti/Pt/Au, Ti:W/Au, Ti/Pt/Ag or Ti:W/Ag. Sputtered or evaporated aluminum may exhibit sufficient adhesion to bare alumina or AlN. Thin film metal can be patterned by deposition through a shadow mask or photoresist mask, or by a subtractive (etch) process, where the metal to be etched away is defined by photoresist.
- 2.6 If the backside of the ceramic requires metal leads, one method to attach these leads would be to braze the leads discrete ceramic bases using a metal braze alloy such as CuAg eutectic. This lead attachment step can be performed prior to bonding the reflector layer to the top face of the ceramic.
- 2.7 The metal reflector is formed from a sheet of CTE-matched metal such as Alloy 46 or Kovar, typically 20 mils (0.5mm) thick. Two methods can be used to form the sheet metal: photoetching or stamping. Photoetching of metal sheets is commonly practiced in the industry using dry film photoresist. If photoresist is patterned on only one face of the metal, wet (isotropic) etching of the metal will naturally produce a sidewall whose profile is the 90° arc of a circle. However, if photoresist is aligned and patterned on both faces of the metal sheet, then more conical-shaped profile can be engineered. Stamping of sheet metal is preferred when the desired quantities are very high. By using of progressive stamping or forging, the profile of reflector sidewall can be controlled. After forming, the metal can be surface treated to prepare it for bonding to the ceramic. For example, the electroplated with Ni, or Ni + Ag to prepare it to be brazed or glass bonded to the ceramic. Or, the metal could be oxidized to prepare it to be glass bonded to the ceramic.
- An alternative reflector metal could be the one of the many types of aluminum matrix composites tailored to have a low CTE. The CTE of the composite can be reduced by the addition of SiC particles (AISiC), SiC whiskers, silicon particles, or graphite fiber. For example, the firm DMCC manufactures an AISiC composition called MCX-724 whose CTE is matched to that of alumina (7.2 ppm/°C). Si/AI or graphite/AI can be machined, photoetched or stamped into the desired shape. AISiC can be net shaped cast into the desired shape, after the expensive NRE has been paid. The advantage of aluminum matrix composite reflectors is that that they require no plating before or after they are bonded to the ceramic (preferably using a low temperature sealing glass), since aluminum is a preferred reflector material and it does not tarnish. Ideally, an aluminum composite can be sealed to the ceramic using a glass sealing temperature > 300°C (to enable the LED to be soldered with AuSn eutectic), but < 500°C to prevent excessive alloying of the Au or Ag plating on the ceramic.

- 2.9 The metal reflector can be etched into the shape of a 2-D array of reflectors. The array can either be (a) tightly spaced together to enable bonding to a ceramic multi-up card, or (b) widely separated as on an overmolded leadframe. If the metal/glass/ceramic sandwich is bonded together as a card, then the sandwich layers must be singulated with a diamond saw, preferably after die attach and wire bonding. If the ceramic is singulated before bonding to the metal, then diamond sawing through the ceramic only is necessary. After the discrete ceramic bases are bonded to the metal lead frame, the metal leadframe can be quickly singulated using an excising punch.
- 2.10 The use of glass to bond the metal to the ceramic offers the advantage of providing dielectric isolation and adhesion in a single step. The selected glass should have a CTE similar to that of the ceramic and the metal, and should have a softening point above 300°C, to enable AuSn die attach of the LED to the ceramic, followed by SnAg wave soldering of the packaged LED. The upper temperature limit of the working temperature of the glass is set by other factors. If a metal alloy such as Alloy 46 or Kovar are used, the glass should be flowed at a temperature below which the thermal expansion coefficient of the metal increases. In such cases, the package will probably be silver plated after assembly. If an aluminum-matrix composite is used as the reflector, then the metallization on the ceramic (such as Ag or Au) must not be degraded in the process of bonding the ceramic to the reflector. The glass reflow temperature should be < 500°C if the ceramic's Ag or Au metallization is not to be degraded.
- 2.11 A polymer such as high temperature epoxy could also be used to bond the metal reflector to the ceramic. Epoxy bonding of the metal to the ceramic would be especially suitable if the LED is to be attached to the ceramic using a lower temperature, silver filled epoxy. Generally, it is easier to control the flow of epoxy than silicate glass.

3 Die attach and wire bonding

- 3.1 A purpose of this invention is to provide an LED package design that is compatible with existing automated methods for die attach and wire bonding. In order to meet the high volume & low unit cost demands of the LED industry, the LED dice must be die attached and wire bonded using highly automated equipment, with a minimum of manual input. The use of industry standard leadframes is a key feature of this invention, since automated equipment in factories worldwide routinely accept plastic overmolded packages on standard leadframes.
- 3.2 An LED die is bonded to the ceramic using a silver-filled epoxy, or preferably, a metal solder with good thermal conductivity such as 80:20 Au:Sn eutectic.
- 3.3 Metal pads atop the LED die are connected to the ceramic, typically using 1 mil diameter gold wire. Gold ball bonding or wedge bonding are both suitable.
- 3.4 After a frame is fully populated with die, it can be moved to another work station where encapulant and a lense are automatically placed atop the die. Features formed into the top of the metal (such as a ledge) can assist in the alignment of the lens.





7.00

Joseph A. Tessari Intellectual Property Counsel Voice: 302-633-3566

Fax: 302-633-2776

joseph.tessari@tycoelectronics.com

tyco

Electronics

Tyco Technology Resources 4550 New Linden Hill Road, Suite 140 Wilmington, DE 19808

24 April 2003

Via Courier
Joseph E. Chovanes, Esq.
Piper Rudnick
3400 Two Logan Square
18th and Arch Streets
Philadelphia, PA 19103-3762

Re:

US Patent Appln. 09/864,123

Our Ref. Your Ref.

17539

3.

US Patent Appln. 09/696,930

Our Ref. 17548

Your Ref.

N/A 1

US Patent Appln. 10/098,098

Our Ref.

17781 1225-0

Your Ref. 1235-02

PID Nos. 2003059; 2033072; 2003073

Dear Joe:

I enclose copies of Office Actions for the above cases. I also enclose copies of the applications and drawings for 17548 and 17539, which you were not earlier involved with.

- REDACTÉD -

I also enclose three new PIDs that need attention.

- REDACTED -

With respect to 2003073,

- REDACTED -

Please provide cost estimates for each of these files before beginning any work.

Contact me if you have any questions.

Best Regards,

Joseph A. Tessari

Enclosures

DECLARATION/POWER	OF ATTORNEY	Attorney Docke	t Number	1811	7
FOR	R				
UTILITY OR DESIGN PA	TENT APPLICATIO	N First Named Inv	ventor	William J.	Palmteer
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Declaration	1.00)		50100		· · · · · · · · · · · · · · · · · · ·
Submitted	Declaration	Application Number	COMPLETE IF	KNOWN	
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Filing	(37 CFR 1.16(e))	Group Art Unit			23, 2003)
	required	Examiner Name			······································
As a below named inventor, I h	ereby declare that:				
My residence, mailing address, a	nd citizenship are as star	ed below next to my name			
We believe we are the original, f plural names are listed below) of	itsi ann joint toventor (ii the subject matter which	to the name is listed be the first seen in the second and for which	a patent is sought o	, first and joint on the invention	inventor (if entitled:
the specification of which					
is attached hereto					
OR					
Was filed onNumber	as United S	tates Application Number	or PC	T international	pplication
I hereby state that I have reviewe amended by any amendment spec I acknowledge the daty to disclos continuation-in-part applications, the national or PCT international	cifically referred to abov se information which is 1 . material information wh	e. naterial to patentability as s hich became available betw	defined in 37 CFR	1.56. including	for
I hereby claim forcign priority be extificate, or 365(a) of any PCT America, listed below and have a certificate, or any PCT internatin	international application Ilso identified below, by	which designed at least on checking the box, any fore	e country other tha	n the United St	ates of
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Co	y Attached?
.10.000(3)	Country	(MANDONIII)	Not Clauben	YES	NO
			0	0	0
☐ Additional foreign applicat	tion numbers are listed on a	supplemental priority data sh	cct PTO/SB/02B atta	ched horeto.	
I hereby claim the benef) of any United States prov	isional application	(s) listed below	
Application Number(s	, riling	Date (MM/DD/YYYY)	numbe supple	onal provisiona rs arc listed on mental priority B/02B attached	a data sheet

[Page 1 of 3]

	DECLARATION -	Utility or De	esign Patent Applic	cation	
Direct all corres	pondence to: Customer Number or 🗵	Соттевропленсе в	ddress below		
Name	Driscoll A. Nina, Jr., Esquire	·			
Address	Tyco Technology Resources				
Address	4550 New Linden Hill Road	Suite 140			
City	Wilmington	Sta	ate DE	Zip 198	08-2952
Country	US	Telephon	ne (302) 633 3566	Fax (302)	33 2776
	PC	WER OF ATT	ORNEY		
I hereby appoir Office connect		ute this application	on and transact all busines	s in the Patent and	Frademark
	Robert J. Kapalka R Michael J. Arunoff R Salvatore Anastasi R T. Daniel Christophury R Paul A. Taufer Frank A. Cona Darius C. Gambino	tegistration No. 34 tegistration No. 34 tegistration No. 37 tegistration No. 39 tegistration No. 31 Registration No. 3 Registration No. 3 Registration No. 3 Registration No. 4 Registration No. 5	198 770 090 750 <i>5</i> 703 8412		
[x] I herel	by appoint the practitioner(s) associated siness in the Patent and Trademark Office	with Customer N c connected ther	lumber 035811 to prosecuewith.	te this application a	nd to transact
[] Attack	ned, as part of this Declaration and Power and follow instructions from my repres	er of Attorney, is entative(s).	the authorization of the ab	oove-named practiti	oner(s) to
		DECLARATI	ON		
belief are belie like so made a	re that all statements made herein of my wed to be true; and further that these state punishable by fine or imprisonment, walidity of the application or any patent in the state of the application or any patent in the state of the application or any patent in the state of the application or any patent in the state of the application or any patent in the state of the s	y own knowledg tements were ma , or both, under	e are true and that all sta ade with the knowledge th	iat willful false stat	ements and the
C: N (fi	rst and middle [if any])		as been filed for this unsig	gned inventor	
William J.	en and strate in anali	Palmteer	me or Surname		
Inventor's Sign:	sture illelian D. Foll			Date /0/2	7/03
Residence/City:	N. Andover	State MA	Country USA	Citizenship US.	٨
Mailing Addres	=: 318 Turnpike Street			· · · · · · · · · · · · · · · · · · ·	
Mailing Addres	s;				
City N. And	dover	State MA	Zip 01845	Country USA	
		[Page 2 of ?	3]	j	

	~				
NAME OF SECOND INVENTOR:	☐ A petition has been filed for this unsigned inventor				
Given Name (first and middle (if anyl)		Family Name or	Surname		
Thomas		Yuan			
Inventor's Signature		tree		Date 10/27	12003
Residence/City: Nashua	State Han	e New opshire	Country USA	Citizenship Tai	wan, ROC
Mailing Address: 8 Bayberry Circle					
Mailing Address:					
City: Nashua	State Har	. New mpsh ire	Zip 03062	Country USA	
NAME OF ADDITIONAL JOINT INVENTOR, IF ANY:		A petition has been	n filed for this unsign	ed inventor	
Given Name (first and middle [if any]) Richard		Family Name or Koba	Surname		
Inventor's Signature				Date	
Rosidence/City: Saugus	State	MA	Country USA	Citizenship USA	
Mailing Address 57 Walnut Street		·			
Mailing Address:					
City: Saugus	State	MA	zip 01906	Country USA	
NAME OF ADDITIONAL JOINT INVENTOR, IF ANY:		A petition has bee	n filed for this unsign	ed inventor	
Given Name (first and middle [if any]) Family Name or Surname					
Inventor's Signature		···		Date	
Residence/City:	State		Country	Citizenship	
Mailing Address		-			
Mailing Address					
City	State	.	Zip	Country	
NAME OF ADDITIONAL JOINT INVENTOR, IF ANY:		petition has bee	n filed for this unsign		
Given Name (first and middle [if any])			Family Name or	Surname	<u> </u>
Inventor's Signature				Date	
Residence/City:	State		Country	Cittzenship	
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City	State	· · · · · ·	Zip	Country	

[] Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached bereto
[Page 3 of 3]

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